

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Applicant	David S. Miller
Application No.	To be assigned (Continuation of 09/776,707)
Confirmation No.	To be assigned
Filed	February 23, 2004
For	System for Tax Data Collection (as amended)
Examiner	To be assigned
Art Unit	To be assigned
Attorney Docket No.	31921-192598
Customer No.	26694

Information Disclosure Statement Under 37 C.F.R. § 1.97(b)

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Arlington, Va 22313-1450

Sir:

This is an Information Disclosure Statement submitted under 37 C.F.R. § 1.97 within the time specified under 37 C.F.R. § 1.97(b). The U.S. Patent and Trademark Office is notified of three documents from litigation of record in the parent application 09/776,707, which are listed on the attached Form PTO-1449. Copies of U.S. Patent No. 5,644,742 to Shen (cite A1), the article "This Week's Lead Story #1: Highwaymaster, TTSI to Offer Automated Fuel Tax Reporting," *Inside ITS*, September 11, 1995 (cite C10), and the Qualcomm Press Release, March 12, 1997, "QUALCOMM Introduces OnTrax State Mileage Reporting Software" (cite C11) are attached. The remaining documents were properly listed and filed in the parent application 09/776,707, to which this application claims priority. Therefore, Applicant meets the requirements under 37 C.F.R. § 1.98(d), and additional copies need not be provided with this

filing.

In view of the above, no further translation or statement of relevance is required, and as all requirements of 37 C.F.R. § 1.97 and all official guidelines pertaining to Information Disclosure Statements have been complied with. It is therefore respectfully requested that the Examiner consider the documents and make them of record.

Respectfully submitted,

Date: February 23, 2004



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MAS/KBL
DC2-523648

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First Named Inventor	David S. MILLER
Group Art Unit	Not yet assigned
Examiner Name	Not yet assigned
Attorney Docket Number	31921-192598

Examiner Initials	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	A1	5,706,442		Anderson et al.	01-06-1998	
	A2	5,802,511		Kouchi et al.	09-01-1998	
	A3	6,023,694		Kouchi et al.	02-08-2000	
	A4	6,026,392		Kouchi et al.	02-15-2000	
	A5	6,131,115		Anderson et al.	10-10-2000	
	A6	5,799,283		Francisco et al.	08-25-1998	
	A7	6,183,140	B1	Singer et al.	02-06-2001	
	A8	6,289,319	B1	Lockwood	09-11-2001	
	A9	6,311,170	B1	Embrey	10-30-2001	
	A10	6,347,304	B1	Taricani, Jr.	02-12-2002	
	A11	5,875,433		Francisco et al.	02-23-1999	
	A12	5,505,461		Bell et al.	04-09-1996	
	A13	5,819,249		Dohanich et al.	10-06-1998	
	A14	5,875,435		Brown	02-23-1999	
	A15	5,644,742		Shen et al.	07-01-1997	

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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet	2	of	11
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U.S. PATENT DOCUMENTS						
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		Number	Kind Code ² (if known)			
	B1	4,554,418		Toy	11/19/1985	
	B2	4,713,761		Sharpe, et al.	12/15/1987	
	B3	4,727,243		Savar	02/23/1988	
	B4	4,890,228		Longfield	12/26/1989	
	B5	4,961,158		Sussman	10/02/1990	
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	B7	5,138,549		Bern	08/11/1992	
	B8	5,193,057		Longfield	03/09/1993	
	B9	5,202,826		McCarthy	04/13/1993	
	B10	5,287,268		McCarthy	02/15/1994	
	B11	5,521,815		Rose, Jr.	05/28/1996	
	B12	5,546,303		Helbling	08/13/1996	
	B13	5,555,497		Helbling	09/10/1996	
	B14	5,694,322		Westerlage, et al.	12/02/1997	
	B15	5,724,523		Longfield	03/03/1998	
	B16	5,774,872		Golden	06/30/1998	

[illegible]

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	C1	TOM NEGRINO, "Quicken Deluxe 6", MacWorld Reviews, February 1996, pp. 1-3, www.macworld.com/1996/02/reviews/1851.html	
	C2	"Microsoft Online-Banking Strategy Gains Wide Industry Support", May 8, 1996, pp. 1-2, www.microsoft.com/PressPass/press/1996/may96/hmbankpr.asp	
	C3	"Intuit Will Create Comprehensive Framework For Financial Data Exchange Using The Internet", September 16, 1996, pp. 1-4, www.intuit.com/corporate/press_releases/091696b.html	
	C4	"Microsoft Delivers Open Internet Banking Solutions Today", September 30, 1996, pp. 1-4, www.microsoft.com/PressPass/press/1996/sept96/INETBKPR.asp	
	C5	"Intuit, Microsoft and Checkfree Create Open Financial Exchange", January 16, 1997, pp. 1-6, www.intuit.com/corporate/press_releases/011697.html	
	C6	"Intuit Makes Tax Preparation Software Available Free On The Internet", January 27, 1997, pp.1-2, www.intuit.com/corporate/press_releases/012797.html	
	C7	"Confusing Tax Lingo Delays Americans From Filing", February 3, 1997, pp. 1-2, www.intuit.com/corporate/press_releases/020397.html	
	C8	"Open Financial Exchange Winning Broad Support From Financial Services And Technology Companies", February 19, 1997, pp.1-3, www.intuit.com/corporate/press_releases/021997.html	
	C9	"Open Financial Exchange – About OFX", 1 page, www.ofx.net/ofx/ab_main.asp	
	C10	This Week's Lead Story #1: Highwaymaster, TTSI to Offer Automated Fuel Tax Reporting, <i>Inside ITS</i> , September 11, 1995.	
	C11	Qualcomm Press Release, March 12, 1997, QUALCOMM Introduces OnTrax State Mileage Reporting Software.	

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	D1	"Linking Quicken to TurboTax"(with two pages of Table of Contents), pp. 1-3, www.cma.zdnet.com/book/quicken/ch22/ch22.htm	
	D2	"QIF Definition", pp. 1-6, www.respmech.com/mym2qifw/qif_new.htm	
	D3	"Quicken - Answers", pp. 1-2, www.intuit.com/support/quicken/faqs/win3/5176.html	
	D4	"Quicken Deluxe 98", pp. 1-4, www.mcronline.com/Quicken98.htm	
	D5	"Quicken Deluxe 98: taxes", pp.1-2, www.cnet.com.sg/Briefs/Comparisons/Money/ss02g.html	
	D6	"Quicken QIF Alert", pp.1-4, www.fi.inuit.com/technical/qif_fi_alert.cfm	
	D7	"Shortcutz", Intuit Quicken® 99", pp. 1-2, www.educationalmultimedia.com/shortcutz/spreadsheets/quicken99.cfm?1	
	D8	Randall, et al., "First Looks", Massachusetts CPA Review, Vol. 70, No. 1, pp. 30-32, Winter 1996.	
	D9	Brozovsky, et al., "Tax Deposits Go Electronic", CPA Journal, Vol. 65, No. 12, pp. 53-54, December 1995.	
	D10	"Tax Prep Software: Out Third Annual 1040 Face-Off", Accounting Technology, Vol. 10, No. 10, pp. 20-63, November 1994.	
	D11	"SALES/USE Tax System", Taxware International, Inc., September 1999, http://www.taxware.com/ZProducts/salesuse/sutaxsys.html	

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	E1	PAM THOMPSON, "Quicken Deluxe", October 23, 1997, pp. 1-4, www.macobserver.com/reviews/quicken98.shtml	
	E2	TurboTax "What are the limitations of Quicken Taxlink?", May 14, 2001, pp. 1-2, www.intuit.com/support/turbotax/faqs/ty99/win/1169.html	
	E3	SERVICE & SUPPORT, "Using TaxLink With ProSeries Products-Technical Tip", May 14, 2001, pp. 1-2, www.proseries.com/service_support/1999/faqs/docs/10116.shtml	
	E4	Quicken, "How do I import QIF files into Quicken that I downloaded from my Financial Institution", May 14, 2001, pp. 1-2, www.intuit.com/support/quicken/faqs/win3/5176.html	
	E5	Quicken, "Exporting Quicken data", May 14, 2001, pp. 1-2, www.intuit.com/support/quicken/faqs/docs/w_export.html	
	E6	Quicken, "Exporting and Importing Quicken Data", 2000, pp. 1-2, www.intuit.com/support/quicken/faqs/docs/w_export-import.html	
	E7	"Using Community PC Banking and Quicken", May 14, 2001, pp. 1-2, www.communitybankssb.net/quicken.htm	
	E8	"PocketMoney to QIF Converter-Home", v0.1-28 July 2000, pp. 1-2, http://pm2qif.sourceforge.net/	
	E9	CRANE (Crane Federal Credit Union's), "Common Cents", April 2001, pp. 1-2, www.cranecu.org	
	E10	Information Concepts, Inc., "Fixed Price Software Development", May 17, 2001, p. 1, www.infoconcepts.com/v2/home.html	
	E11	"QIF Converter For Online Transactions", May 17, 2001, p. 1, www.etfcu.org/files/Readme.txt	

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Sheet	6	of	11	Application Number	Not yet assigned
				Filing Date	February 20, 2004
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	F1	Chapter 6, "Downloading and Using QIF Files", pp. 53-56	
	F2	VOICE, "General VOICE Meeting from 8/06/97", p. 1, www.os2voice.org/logs/V080697.LOG.html	
	F3	INTUIT, "Intuit Introduces Online Investment Tracking In Quicken 98", MOUNTAIN VIEW, Calif. September 15, 1997, pp. 1-2, www.intuit.com/corporate/press_releases/091597e.html	
	F4	Microsoft, "H&R Block Switches from Solaris/Oracle to Microsoft .NET Enterprise Servers, Improves Scalability and Performance, March 2001, pp. 1-4, www.microsoft.com/	
	F5	H&R BLOCK, "Archived Press Releases", April 26, 2001, pp.1-6, www.hrblock.com/press_relations/archives_pr.jsp	
	F6	H&R BLOCK, "H&R Block Brings Its Nationwide Network Of Tax Professionals Online To Offer Complete Anytime, Anywhere, Any Way Tax Support", KANSAS CITY, Mo., April 26, 2001, pp.1-3, www.hrblock.com/press_relations/content/pr_2001_04.html	
	F7	MICROSOFT BUSINESS, "An Open Standard for Tax Data Interchange Using TaxML", January 22, 2001, p.1, www.microsoft.com/BUSINESS/government/resources/taxml.asp	
	F8	PRICEWATERHOUSECOOPERS, "Develop a Professional Business Plan", September 28, 2000, pp. 1-2, www.microsoft.com/BUSINESS/ecommerce/build/pwc_develop.asp	
	F9	MICROSOFT PRESSPASS, "Microsoft Adds Premium Content and Tools to Investor, Delivering Integrated, Comprehensive Service for Individual Investors", REDMOND, Wash., June 3, 1997, pp. 1-3, www.microsoft.com/PressPass/press/1997/Jun97/Invst4pr.asp	
	F10	CYNTHIA NORMAN, Muir Software, Inc., "The Open Financial Exchange", pp. 1-6, www.ofx.net	
	F11	INTUIT, "Intuit Partners With American Century Investments To Offer Online Investment Tracking Through Quicken", MOUNTAIN VIEW, Calif., June 22, 1998, pp. 1-2, www.intuit.com/corporate/press_release/062398.html	

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	G1	MICHAEL L. SCHNEIDER, "Banking on a New Internet Standard", February 24, 1998, pp. 1-2, www.zdnet.com/products/content/pcmg/1704/277635.html	
	G2	"OFX Specification Version 1.5.1", November 23, 1998, pp. 1-7, www.webiz.com/151html/	
	G3	INTUIT, "Intuit, Top Technology Companies Team To Launch Intuit Osp Program, Mountain View, Calif., November 16, 1999, pp. 1-6, www.intuit.com/corporate/press_releases/111699.html	
	G4	Open Financial Exchange, "Tax Forms", April 19, 2001, p. 1, www.ofx.net/ofx/fi_taxforms.asp	
	G5	INTUIT, "Award-Winning TurboTax For Business Offers Small Businesses Comprehensive Business-Specific Advice To File Their Taxes," SAN DIEGO, January 13, 1998, pp. 1-5, www.intuit.com/corporate/press_releases/011398b.html	
	G6	INTUIT, "Quicken TurboTax Debut For Tax Year 1999 Marks The Largest Retail Launch In Software Application History", SAN DIEGO, December 7, 1999, pp. 1-4, www.intuit.com/corporate/press_release/120799a.html	
	G7	SIMSON L. GARFINKEL, "Web Banking Comes of Age", September 23, 1999, pp. 1-3, www.info-sec.com/commerce/99/commerce_100299a_j.shtml	
	G8	INTUIT, "Quicken 98 QIF Converter Instructions", May 14, 2001, pp. 1-2, fi.intuit.com/quicken98/qifalert.cfm	
	G9	"Yahoo! Search Results for +.QIF", May 14, 2001, pp. 1-3, google.yahoo.com/bin/query?p=%2b.QIF&hc=0&hs=0	
	G10	CDC FEDERAL CREDIT UNION, "Instructions for Exporting Account History to Quicken Using Web Connect", May 14, 2001, pp. 1-2, www.cdcfedcu.com/info/IBShistoryexport.html	
	G11	OPEN FINANCIAL EXCHANGE, "Information Concepts Offers Implementation and Migration Toolkit", HERDON, VA., November 8, 1999, pp. 1-2, www.ofx.net/ofx/pressget.asp?id=41	

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	H1	OPEN FINANCIAL EXCHANGE, "BITS, Publishers of Open Financial Exchange and GOLD Team Announce Timetable for the Publication of Converged Specification", WASHINGTON, April 7, 1998, pp. 1-5, www.ofx.net/ofx/pressget.asp?id=17	
	H2	OPEN FINANCIAL EXCHANGE, "Microsoft Money and Intelidata First to Certify End-To-End OFX Solution", HERDON, March 5, 1998, pp. 1-3, www.ofx.net/ofx/pressget.asp?id=21	
	H3	OPEN FINANCIAL EXCHANGE, "Banks, Brokerage and Technology Companies Collaborate to Guide Open Financial Exchange", June 10, 1997, pp. 1-5, www.ofx.net/ofx/pressget.asp?id=3	
	H4	ROBERT BARKER, "Quicken vs. Money: And the Winner Is...", August 18, 2000, pp. 1-3, www.businessweek.com/bwdaily/dnflash/aug2000/nf20000818_650.htm	
	H5	DANBURY AREA COMPUTER SOCIETY, INC., Volume 9, Issue 2, February 1998, pp.1-16, www.dacs.org	
	H6	THERESA W. CAREY, "The best personal tax packages", May 14, 2001, pp. 1-3, coverage.cnet.com/Content/Reviews/Compare/Tax/index.html	
	H7	CNET, "Electronic links of paperless taxes", May 14, 2001, pp. 1-2, coverage.cnet.com/Content/Reviews/Compare/Tax/ss1.html	
	H8	"Instructions for Downloading & Printing Statements", May 14, 2001, pp. 1-3, gateway.fundsxpress.com/fibvw/instruction_downloads.htm	
	H9	"Feature Guide", May 14, 2001, pp. 1-2, manuals.sybase.com/onlinebooks/group-fs/fsg0110e/sfsfg/@Generic_BookText.../32	
	H0	GnuCash USER MANUAL, "Quicken QIF File Import", May 14, 2001, pp. 1-2, www.gnucash.org/docs/C/xacc-qif.html	
	H11	OPEN FINANCIAL EXCHANGE, "Solution Provider Profiles", May 14, 2001, pp. 1-34, www.ofx.net/ofx/fi_prof.asp	

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
Sheet	9	of	11	Application Number	Not yet assigned
				Filing Date	February 20, 2004
				First Named Inventor	David S. MILLER
				Group Art Unit	Not yet assigned
				Examiner Name	Not yet assigned
				Attorney Docket Number	31921-192598

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	I1	THE BUSINESS JOURNAL, "New tax-prep programs appeal to Quicken users", January 31, 1997, pp. 1-2, portland.bcentral.com/portland/stories/1997/02/03/focus4.html	
	I2	OPEN FINANCIAL EXCHANGE, "Intuit Canada and Microsoft Canada Create Open Financial Exchange", January 20, 1997, pp. 1-4, www.ofx.net/ofx/pressget.asp?id=6	
	I3	INTUIT, "Intuit's Turbotax Provides Expert Tax Advice And Filing Tips for Sweeping New Tax Laws", San Diego, CA, December 1, 1997, pp. 1-4, www.intuit.com/company/press_releases/1997/12-01/html	
	I4	CUCUG, "The Status Register", October 1997, pp. 1-31, www.cucug.org/sr/sr9710.html	
	I5	INTUIT, "Intuit and Microsoft Advance Financial Info Exchange on the Internet", Mountain View, CA, December 8, 1999, pp. 1-3, www.intuit.com/company/press_releases/1999/12-08b.html	
	I6	TERRI STONE, "The Tax Man Cometh", December 23, 1997, pp. 2-3, www.computeruser.com/magazine/national/1525/news1525.html	
	I7	MacFixIt, "November 1999-a Archive Late-Breakers", November 1999, pp. 1-9, www.macfixit.com/archives/november.99.a.shtml	
	I8	BILL GATES, "Remarks by Bill Gates", Bellevue, WA, March 26, 1997, pp. 1-17, www.microsoft.com/BillGates/Speeches/industry&tech/marble.asp	
	I9	OPEN FINANCIAL EXCHANGE, "Intelidata Certifies First End-to-End Open Financial Exchange Solution to Support Quicken®", Herndon, VA, June 24, 1998, pp. 1-3, www.ofx.net/ofx/pressget.asp?id=22	
	I10	TALK CITY, "Wingspan Bank Presents Bill Wallace, Executive Vice President and Chief Information Officer WingspanBank.com", November 16, 1999, pp. 1-2, www.talkcity.com/transcripts/WingspanBank/11-16-1999.1-1.html	
	I11	TALK CITY, "Wingspan Bank Presents Bill Wallace, Executive Vice President and Chief Information Officer WingspanBank.com", November 16, 1999, pp. 1-2, www.talkcity.com/transcripts/WingspanBank/11-16-1999.1-2.html	

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Group Art Unit	Not yet assigned
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Sheet 11 of 11

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	K1	Microsoft Press Release of November 18, 1996, entitled "Microsoft Announces Availability of Active Statement Technology For Microsoft Money 97".	
	K2	"Taxing Matters: Updating Technology at the Internal Revenue Service", Wasson, J.; Vol. 7, Issue 2, <u>EDI Forum</u> (1994) p.59-63 (ISSN: 1048-3047).	
	K13	"State Tax Reporting Via the Electronic Highway", Lyon, J.; Vol. 6, Issue 3, <u>EDI Forum</u> , (1993) p. 30-35 (ISSN: 1048-3047).	
	K14	"This Just In Getting Back to Business: Tax Prep Software Doesn't Add Up To 1040. Expect More For the Money from 1065, 1120, and 1120S Business Tax Software This Season.", Cohn, M.; <u>Accounting Technology</u> , (January 1996) p. 29-39.	
	K15	Kiplinger TaxCut Quick Start Guide; Filing Edition-Tax Year 1996.	
	K16	"Open Exchange", September 16, 1996, pp. 1-11, www.intuit.com/corporate/press_releases/091696_white_paper.html	
	K17	Auditing the IRS", McTague, Jim; 12/23/96 Barrons 29, p. 1-9	

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